

## **FINDING RULES AND EXCEPTIONS FROM DATABASES**

### **Field Of The Invention**

This invention is related with data processing, especially related with data mining processing for mining rules from database.

### **Background Of The Invention**

#### **1. Knowledge Discovery and Data Mining (KDD)**

Databases today can range in size into the terabytes of data and soon the pentabytes arena. Within these masses of data lies hidden information of strategic importance. Data Mining is the powerful new technology following OLAP tools with great potential to help companies focus on the most important information in database and data warehouse.

Innovative organizations are already using data mining to locate and appeal to higher-value customers, reconfigure their product offerings to increase sales, and minimize losses due to error or fraud.

GST-DSS (General System Theory Based Decision Support System) has automatic Data Mining and Knowledge Discovery(KDD) tool based on rule induction mechanism by extended Prolog(ext-Prolog) engine. KDD tool can be applied directly to major operational database and data warehouse by built-in DBMS interface. Users can understand the data by expressed rule database and find predictive information even experts may miss.

## 2. Automatic Discovery System

GST-DSS has built-in KDD component based on rule induction by ext-Prolog engine. Logical rules in database are usually explored and expressed as conditional or affinity relationships.

Logical rule has the following form:

```
IF
    Sex = Male
AND
    Item = Diaper
THEN
    Item = Beer
(Confidence = 80%)
(Support = 25%)
```

Here logical conditions (IF Sex=Male AND Item=Diaper) and associations (THEN Item=Beer) are combined where confidence factor of 80%(Confidence) and coverage of 25% to the entire records(Support). This form of hybrid structure delivers the same notation with Prolog logic rules.

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The rules have the advantage of being able to deal with numeric and character data in a uniform manner. When dealing with numeric data, prior approaches have to break numeric fields into "codes" or specific category values. Also, rules may easily go beyond attribute-value representations such as "Import\_Country = Export\_Country". Here, we compare the values of two columns, without explicitly naming any values. This relationship cannot be stated by decision trees or cross-tabs approach. This rule induction can discover general rules and can be easily understood by business users.

### SUMMARY OF THE INVENTION

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As described above, KDD tools can find rules. But as we think an exception also contains important information, our system tries to find not only general rules but also exception rules. As the concept of an exception is not so popular, in this specification it is defined as follows:

“If A then B” is an exception when the next three conditions are all satisfied.

- (1) There exists C such as “If A then C” is one of the rules.
- (2) The confidence factor of “If A then B” is greater than zero.
- (3) The confidence factor of “If A then B” is equal to or less than the value specified by the user (ExceptionFactor parameter).

An object of the present invention is directed to a method for utilizing on-line mining to generating inference rules and exceptions from large databases.

The method adopts a skeleton approach based on the GSM (goal seeking model) of MGST (Mathematical General System Theory) for system construction. Following the MGST approach, the present invention is achieved in four stages, adaptive (adp) stage, data model (dm) stage, problem formulate (prf) stage, and solver (slv) stage.

The adp(adaptor) stage corresponds to adaptive layer in MGST approach, and it receives the specifications from an online user and generates a parameter file which can be considered as a threshold of the rule generation process, then gets the result from the slv stage and displays the rules and exceptions, which generated from the slv stage, to the user. The user can adjust the specifications to get more satisfaction result.

The dm stage, prf stage and slv stage correspond to the problem solving layer in MGST approach.

The dm(data model) stage analyzes the user's order from the parameter file which has been generated at the first stage; then gets the necessary data from a database system. The result of this stage is necessary data and analyzed parameters such as minimum support number, minimum confidence number, maximum exception number and data structure parameters.

The prf stage transforms the supplied data into a data structure suitable for slv based on parameters analyzed in dm. Also, in the prf stage, it gives the catalogs of combination of attributes.

The slv stage gets the formulized data, attributes combination catalogs and other data mining parameters from the prf stage as input, the main task of the slv stage is to find the rules and exceptions from the formulized data and save the result in a file (Analyze.dat).

All of the first three stages can be considered as the preprocessing stages, the main algorithm for data mining is defined in the slv stage. The slv stage further includes three sub-stages, getsupport substage, getrule substage and getresult substage.

They are defined as follows; the getsupport substage is used to compute the support number of each attribute combinations. In this substage, the bitmap method is used to speed up the execution. In order to get exceptions, each support number should be computed. The getrule substage is to get the confidence for each attribute combination which includes the

output attribute (if the output is suggested), then find the rules with the condition of the support number is not smaller than the minimum support number, and at the same time, the confidence is not smaller than the minimum confidence number. Then the exceptions are computed according to the existing rules and the maximum exception number. The getresult  
5 substage is to save the rules and exceptions into a text file "Analyze.dat" in some medium such as hard disk, CD and etc. The "Analyze.dat" was then sent to the adp stage as the solution to be shown for the user.

### **Brief Description of the Drawings**

Figure 1 shows a flowchart example of the skeleton for finding rules and exceptions adopted by the invention;

Figure 2 shows an example of a flowchart of the method for finding rules and exceptions performed by one embodiment of the invention;

Figure 3 shows an example of a flowchart for a detailed explanation of the prf stage, and can be considered as an expansion of step 230 of Figure 2;

15 Figure 4 shows an example of a flowchart for a detailed explanation of the slv stage, and can be considered as an expansion of step 240 of Figure 2;

Figure 5 shows an example of a flowchart for a detailed explanation of getsupport substage in the slv stage; and

Figure 6 shows an example of a flowchart for a detailed explanation of getrule substage in the slv stage.

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### **Description of the Preferred Embodiments**

FIG. 1 depicts the problem solving skeleton adopted by the invention. The problem solving skeleton for computer executing data mining consists of two layers, PSL (problem solving layer) and ADPL (adaptation layer). The component of adaptation layer is adp(adaptor). The problem solving layer is composed of three components, dm(data model), prf(problem formulator) and slv(solver). dm provides necessary data from specified database for problem solving . prf transforms the supplied data into a data structure suitable for slv. slv is a process of problem solving algorithm. If a solution generated by slv, it does not satisfy the criterion of adp, it tries to improve the behavior of the problem solving layer by modifying dm.

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FIG. 2 depicts an example of a flowchart of a method having features of the present invention. Step 200 starts the data mining system. Step 210 defines the first stage, the adp stage of the present method. This stage is an interaction process between the user and the system. It is used to get the data mining request from the user. The request includes mining

database name, table name, fields information, output fields information, minimum confidence, minimum support, and maximum exception.

Then a parameter file used by a mining system is created. The format of the parameter file is as follows:

```
5 DatabaseName=dbname

TableName=Tbname

Fields=Attributename1, type 1, class 1, value 11, value 12,...
value 1n, ;Attributename2, type2, class 2, value 21, value 22,... value 2n;
...Attributenamem, typem, classm, valuem1,valuem2, ...valuemn

OutputFields=Attributename, type, class, value 1, value 2, ...valuen

ConfidenceFactor=Number(the minimum confidence number between 0~100)

SupportNumber=Number(the minimum support number from 0~)

ExceptionFactor=Number(the maximum exception value between 0~100)
```

In the Fields parameter, the TYPE is defined as C or N, where C represents Character and N represents Number. The Class is defined as C, D, W or V, where C: divide the sorted data into n parts, each part has almost same number of data ( n is given as value); D: the distinct values, which are given after 'D' ; W: divide the sorted data into n ascending intervals by using max and min (n, min,max is given as value), where each interval has almost same width; V: divide the data according to the user's order. Value: is given according to the class. Here is an example of the parameter file as follows:

```
DatabaseName=stock

TableName=dsjp 1
```



Fields=date,C,C,3;dow,C,V,[[ "Weekday" , " 2 " , " 3 " , " 4 " , " 5 " , " 6 " ],[ " Weekend" ,  
" 7 " , " 1 " ]]

OutputFields=dj\_sp,N,W,3, 11.30,11.44

ConfidenceFactor=60

5 SupportNumber=2

ExceptionFactor=25

Step 220 defines the second stage, dm stage of the method. In this step, it first reads the information from the parameter file that was generated from step 210, then analyzes the specification, gets the data from database according to the specification. Step 230 defines the third stage, prf stage of the method where the original data from dm stage (step 220) are formulized in the way that they can be treated in the next stage, slv stage. In this step, the attributes combination catalog is also generated so that it can be used as one parameter in step 240.

15 Step 240 defines the fourth and final stage, slv stage of the method which has the algorithm to generate rules and exceptions from the formulized data, such that the rules satisfies the minimum support and minimum confidence and the exception satisfies the maximum exception. The step 245 is the step that when the user gets the result from the system, he can decide whether he wants to modify his request or he is satisfied with the result. If the result is satisfied, the process stops at step 250.

FIG. 3 depicts an example of a flowchart of prf stage of the present method where the original data is formulized by using the given attribute structure parameters, and generates the attribute combination catalog. Step 300 gets two inputs from dm stage. Step 310 formulized the data. For example if we have the following original data,

5	19280103	3	11.44
	19280104	4	11.41
	19280105	5	11.37
	19280106	6	11.40
	19280107	7	11.42
10	19280109	2	11.40
	19280110	3	11.37
	19280111	4	11.37
	19280112	5	11.35
	19280113	6	11.34
15	19280114	7	11.35
	19280116	2	11.30

By using the given parameter file as the example shows, the formulized data will become:

Dl Weekday N3

Dl Weekday N3

20 Dl Weekday N2

Dl Weekday N3

D2 Weekend N3

D2 Weekday N3

D2 Weekday N2

D2 Weekday N2

5 D3 Weekday N2

D3 Weekday N1

D3 Weekend N2

D3 Weekday N1

In this formulized data, D1 represents the date from 19280103 to 19280106, D2 represents the date from 19280107 to 19280111, D3 represents the date from 19280112 to 19280116. Weekday represents the dow from 2 to 6 and Weekend represents the dow of 7 and 1. N1 represents the dj\_sp from 11.30 to 11.34, N2 represents dj\_sp from 11.35 to 11.38, and N3 represents the dj\_sp from 11.39 to 11.44.

Step 320 generates the attribute combination catalog, when the attribute combination catalog has been generated, the process stops at step 330. One example of the attribute combination is as follows:

[[date],[dow],[dj\_sp],[date,dow],[data,dj\_sp],[dow,dj\_sp],[date,dow,dj\_sp].

FIG. 4 depicts an example of a flowchart of slv stage of the present method where all the rules and exceptions are generated from the formulized data. Step 400 gets the input from

the dm stage and the prf stage. The minimum confidence P1, minimum support P2 and maximum exception P3 are from the dm stage. The formulized data and the attribute combination catalog are from the prf stage. Step 410 corresponds to the getsupport sub-stage in the slv stage, it computes all support numbers of every value combination for each attribute combination. Step 420 corresponds to the getrule sub-stage, it is to find all rules and exceptions by using the parameter P1, P2, and P3. Step 430 corresponds to the getresult substage, it is to write the generated result into a result file so that the adp stage can get it. At step 440 the process stops.

FIG. 5 depicts an example of a flowchart of the getsupport sub-stage of the present method where all of the support numbers is computed. Here in order to speed up the execution, we adopt the bitmap method.

Step 500 gets the formulized data and the attribute combination catalog from the prf stage. Step 510 gets the bitmap for all values of each attribute. The example of bitmaps for attribute date, dow and dj\_sp are as follows:

dateD1=[1,1,1,1,0,0,0,0,0,0,0,0]  
dateD2=[0,0,0,0,1, 1,1,1,0, 0,0,0]  
dateD3=[0,0,0,0,0,0,0,0,1,1,1,1]  
dowWeekday=[1,1,1,1,0,1,1,1,1,0,1]  
dowWeekend=[0,0,0,0,1,0,0,0,0,1,0]  
dj\_spN1=[0,0,0,0,0,0,0,0,1,0,1]  
dj\_spN2=[0,0,1,0,0,0,1,1,1,0,1,0]  
dj\_spN3=[1,1,0,1,1,1,0,0,0,0,0,0]



the bitmaps. Support numbers were obtained in this example as follows:

dateD1=4,

dateD2=4,

dateD3=4,

5 dowWeekday=10,

dowWeekend=2,

dj\_spN 1=2,

dj\_spN2=5,

dj\_spN3 = 5,

1.0 [dateD1,dj\_spN1]=0,

[dateD2,dj\_spN1]=0,

[dateD3,dj\_spN1]=2,

[dateD1,dj\_spN2]=1,

[dateD2,dj\_spN2]=2,

1.5 [dateD3,dj\_spN2] =2,

[dateD1, dj\_spN3]=3,

[dateD2,dj\_spN3]=2,

[dateD3,dj\_spN3]=0

At step 540 the process stops.

generating the rules and exceptions from the support numbers computed by getsupport sub-stage in FIG. 5.

Step 600 is the entry to the algorithm. Four inputs are required, which are the support numbers and their corresponding value and attribute combinations; minimum support;  
5 minimum confidence; and maximum exceptions. First, we must compute the confidence of each value combination. Step 610 is to begin with the first value combination which ( $I=1$ ,  $I$  is a sequential number) includes the output attribute (if the output is suggested). Step 620 is to compute the confidence of each value combination which includes the output attribute (when the output is suggested), for example the confidence of first value combination  
10  $dj\_spNI = \text{support number} / \text{whole number} = 2/12 = 0.1667$ . Step 625 is to decide whether all value combination confidence has been computed or not. If the answer is no then the counter is incremented ( $I=I+1$ ) and process steps 620-630 repeat.

If the answer of step 625 is yes then the step 640 gets all the rules with the minimum support and minimum confidence. In this example,  $P1=60(\%)$ ,  $P2=2$ . Step 645 checks  
15 whether there are any rules generated. If rules have been generated, it tries to generate exceptions based on each rule. Step 650 is to begin with the first rule ( $J=1$ ,  $J$ : ). Step 660 is to check whether there exists an exception or not to the  $J$ -th rule. For example, the confidence of value combination  $[dateDI, djspN3] = \text{support number} / \text{support number of dateDI} = 3/4 = 0.75$ , so the rule generating conditions  $P1$  and  $P2$  are satisfied, as one result of step 640, a rule:  
20  $dataDI \rightarrow djspN3$  has been generated. Then we want to find whether  $dataDI \rightarrow djspNI$  or

dataD1 and dj\_spN2 is an exception or not.

In this example, the confidence of value combination [dateD1, dj\_spN2] = support number / support number of dateD1 = 1/4 = 0.25, the confidence of value combination [dateD1, dj\_spN1] = support number / support number of dateD1 = 0/4 = 0. Since in [dateD1, dj\_spN2], both the confidence and support number are less than the minimum confidence value (P1=60) and minimum support number (P2=2), it is not a rule, and since its confidence value 0.25=25%, satisfy the maximum exception value, then [dateD1, dj\_spN2] is an exception.

With the same reason we can see that [dateD1, dj\_spN1] is not a rule, and since the confidence of value combination [dateD1, dj\_spN1] = 0, it cannot be considered as an exception.

Step 665 then checks whether all rules exception-checking have been finished or not. If the answer is no, the counter is incremented (J=J+ 1), and the process steps 660-670 are repeated. If all the rules are checked, then the process stops at step 680.

Although various embodiments of the invention have been shown and described, they are not meant to be limiting. Those of skill in the art may recognize certain modifications to these embodiments, which modifications are meant to be covered by the spirit and scope of the appended claims.